



A1A Wealth Management, Inc.

CONFIDENTIAL

**DETAILED
QUESTIONNAIRE**

COLLEGE FUNDING

Personal and Confidential

Complete and return to:
A1A Wealth Management, Inc.
P.O. Box 834 Fernandina Beach, FL 32035-0834
E-mail: planning@A1Awealthmanagement.com
Fax: 800-611-9874
Voice: 904-491-1889

Financial Advisor: Mark Dennis, CFP®

Date: _____

Personal Information

Personal Information

	Client	Spouse
Full Name	_____	_____
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Date of Birth	____ / ____ / ____	____ / ____ / ____
Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Separated <input type="checkbox"/> Widowed	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Separated <input type="checkbox"/> Widowed
Email Address	_____	_____
Employment Status	<input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Business Owner <input type="checkbox"/> Homemaker <input type="checkbox"/> Not Currently Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Business Owner <input type="checkbox"/> Homemaker <input type="checkbox"/> Not Currently Employed
Employment Income	\$ _____	\$ _____
Other Pre-Retirement Income <i>(non investment)</i>	\$ _____	\$ _____
Citizenship	_____	_____
State of Residence	_____	_____

Enter children, grandchildren, other dependents or any other person whom you will give a Gift, designate as a Beneficiary or assign ownership of an insurance policy. Note: Date of Birth is only required for Children, Grandchildren and Other Dependents.

Name	Date of Birth	Relationship
_____	____ / ____ / ____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other Dependent <input type="checkbox"/> Beneficiary/Donee <input type="checkbox"/> Charity <input type="checkbox"/> Trust
_____	____ / ____ / ____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other Dependent <input type="checkbox"/> Beneficiary/Donee <input type="checkbox"/> Charity <input type="checkbox"/> Trust
_____	____ / ____ / ____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other Dependent <input type="checkbox"/> Beneficiary/Donee <input type="checkbox"/> Charity <input type="checkbox"/> Trust
_____	____ / ____ / ____	<input type="checkbox"/> Child <input type="checkbox"/> Grandchild <input type="checkbox"/> Other Dependent <input type="checkbox"/> Beneficiary/Donee <input type="checkbox"/> Charity <input type="checkbox"/> Trust

My Financial Goals

College Goal

Name: _____ Year to Start: _____ # of Years of College: _____

Goal Importance (circle one)

10	9	8	7	6	5	4	3	2	1
Needs			Wants				Wishes		

Cost Estimate: [Fill in A, B, or C]

A. My ideal cost estimate \$ _____ (Annual Cost)

My acceptable cost estimate \$ _____ (Annual Cost)

B. IDEAL: Use an average cost: Average All - \$19,180

4-year: Public In-State - \$14,927 Public Out-Of-State - \$22,768 Private - \$30,210

2-year: Public In-State - \$11,350 Public Out-Of-State - \$15,657 Private - \$18,088

My acceptable cost estimate \$ _____ (Annual Cost)

C. Specific College: _____ Under Graduate Graduate

State in which the college is located: _____

Include: (Check which to include)

Tuition Out-of-State fees Room & Board Books & Supplies Other Costs

529 Prepaid Tuition Plan

How many years of Tuition and Fees will be covered for this college? _____

My acceptable cost estimate \$ _____ (Annual Cost)

Outside Funding for College (Optional)

Other Funding Sources During College: (Annual Amounts)

Scholarships: \$ _____ Student Employment: \$ _____

Student Loans: \$ _____ Gifts and Other: \$ _____

Your own income: \$ _____ Your Loans: \$ _____

Outside Assets (Assets not owned by you that will be used to pay for this college, not including UGMA's, UTMA's, or 529 Plans)

1. Type of Asset: _____ Description: _____

Current Value: \$ _____ Annual Addition: \$ _____ Growth Rate: _____%

2. Type of Asset: _____ Description: _____

Current Value: \$ _____ Annual Addition: \$ _____ Growth Rate: _____%

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

(Note: the default rate is 6%)

My Financial Goals

College Goal

Name: _____ Year to Start: _____ # of Years of College: _____

Goal Importance (circle one)

10	9	8	7	6	5	4	3	2	1
Needs			Wants				Wishes		

Cost Estimate: [Fill in A, B, or C]

A. My ideal cost estimate \$ _____ (Annual Cost)

My acceptable cost estimate \$ _____ (Annual Cost)

B. IDEAL: Use an average cost: Average All - \$19,180

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State in which the college is located: _____

Include: (Check which to include)

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Other Funding Sources During College: (Annual Amounts)

Scholarships: \$ _____ Student Employment: \$ _____

Student Loans: \$ _____ Gifts and Other: \$ _____

Your own income: \$ _____ Your Loans: \$ _____

Outside Assets (Assets not owned by you that will be used to pay for this college, not including UGMA's, UTMA's, or 529 Plans)

3. Type of Asset: _____ Description: _____

Current Value: \$ _____ Annual Addition: \$ _____ Growth Rate: _____%

4. Type of Asset: _____ Description: _____

Current Value: \$ _____ Annual Addition: \$ _____ Growth Rate: _____%

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

(Note: the default rate is 6%)

My Financial Goals

Private School Goal

Name: _____ Year to Start: _____ # of Years of School: _____

Goal Importance (Circle One)

10	9	8	7	6	5	4	3	2	1
Needs			Wants				Wishes		

Annual cost Ideal: \$ _____ (today's dollars)

Acceptable \$ _____ (today's dollars)

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

Name: _____ Year to Start: _____ # of Years of School: _____

Goal Importance (Circle One)

10	9	8	7	6	5	4	3	2	1
Needs			Wants				Wishes		

Annual cost Ideal: \$ _____ (today's dollars)

Acceptable \$ _____ (today's dollars)

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

Name: _____ Year to Start: _____ # of Years of School: _____

Goal Importance (Circle One)

10	9	8	7	6	5	4	3	2	1
Needs			Wants				Wishes		

Annual cost Ideal: \$ _____ (today's dollars)

Acceptable \$ _____ (today's dollars)

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

Risk Tolerance Questionnaire

Investment Attitude Risk Questionnaire

Check the box next to the number in answer to each of the six risk tolerance questions below. These answers will help select your Asset Allocation Target Portfolio.

1. How important is capital preservation?

Not at all 1 2 3 *Moderately important* 4 5 6 7 8 *Very important* 9

2. How important is growth?

Not at all 1 2 3 *Moderately important* 4 5 6 7 8 *Very important* 9

3. How important is low volatility?

Not at all 1 2 3 *Moderately important* 4 5 6 7 8 *Very important* 9

4. How important is inflation protection?

Not at all 1 2 3 *Moderately important* 4 5 6 7 8 *Very important* 9

5. How important is current cash flow?

Not at all 1 2 3 *Moderately important* 4 5 6 7 8 *Very important* 9

6. How much risk are you willing to take to achieve a higher return?

Not at all 1 2 3 *A Moderate amount* 4 5 6 7 8 *A lot* 9

What Average Annual Rate of Return* do you want to earn on your portfolio to reach your financial goals?

(Enter a number between 5% and 14%.)

Average Annual Rate of Return* You Want: _____ %

* This rate of return is hypothetical and used for comparison purposes only. It is not related to any specific investment and there is no guarantee you will actually receive this rate.

Investment Assets

Employer Sponsored Plans

Type of Plan: _____

Whose Plan: Client Spouse

Description: _____

Current Total Value: \$ _____

After Tax Value: \$ _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
 Earmark to Multiple Goals: _____
 Fund All Goals
 Leave to Estate
 Not Used in Plan

Income

Total Income from this employer: \$ _____

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

Your contributions:

Pre-tax contributions: Enter % of annual income _____% or Assume Max Contribution Each Yr

After-tax contributions _____%

Year Contributions Begin: _____

Contributions End: Client Retires Spouse Retires Year _____

Employer Contributions

If your Employer matches your contributions, complete this section.

Employer will match this % of your contribution: _____%

Up until your contribution reaches this %: _____%

Then your employer will match this % of your contribution: _____%

Up until your total contribution reaches this %: _____%

Employer Contributions Limit

Maximum annual dollar limit : _____%

Some plans also have a maximum limit on the total dollars the employer will contribute in a year, regardless of the percentage limit above. If your plan has such a limit, enter the amount.

Additional Employer Contributions - Profit Sharing

If your employer makes contributions in addition to those above, enter them here.

Only enter those contributions you are confident you will actually receive.

Contribution as a % of income: _____%

Contributions as dollar amount: \$ _____ Grow annually by _____%

Contributions End: Client Retires Spouse Retires Year _____

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

LTB = Long Term Bonds

MCS = Mid Cap Stocks

IES = International Emerging Stocks

STB = Short Term Bonds

LCVS = Large Cap Value Stocks

SCS = Small Cap Stocks

Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds

LCGS = Large Cap Growth Stocks

IDS = International Developed Stocks

Investment Assets

Employer Sponsored Plans

Type of Plan: _____

Whose Plan: Client Spouse

Description: _____

Current Total Value: \$ _____

After Tax Value: \$ _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Income

Total Income from this employer: \$ _____

Will this Amount Inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- _____%

Your contributions:

Pre-tax contributions: Enter % of annual income _____% or Assume Max Contribution Each Yr

After-tax contributions _____%

Year Contributions Begin: _____

Contributions End: Client Retires Spouse Retires Year _____

Employer Contributions

If your Employer matches your contributions, complete this section.

Employer will match this % of your contribution: _____%

Up until your contribution reaches this %: _____%

Then your employer will match this % of your contribution: _____%

Up until your total contribution reaches this %: _____%

Employer Contributions Limit

Maximum annual dollar limit : _____%

Some plans also have a maximum limit on the total dollars the employer will contribute in a year, regardless of the percentage limit above. If your plan has such a limit, enter the amount.

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SCS = Small Cap Stocks

Unclassified = All Other Asset Classes

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LCGS = Large Cap Growth Stocks

IDS = International Developed Stocks

Investment Assets

Traditional IRA's

Who is the owner: Client Spouse Description: _____
Current Value: \$ _____ After Tax Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

- Pre-Tax: Additions: \$ _____ Inflation? No Yes
 Maximum contribution each year
- After-Tax: Additions: \$ _____
 Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse Description: _____
Ticker Symbol: _____
Current Value: \$ _____ After Tax Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

- Pre-Tax: Additions: \$ _____ Inflation? No Yes
 Maximum contribution each year
- After-Tax: Additions: \$ _____
 Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
LTB = Long Term Bonds
MCS = Mid Cap Stocks
IES = International Emerging Stocks

STB = Short Term Bonds
LCVS = Large Cap Value Stocks
SCS = Small Cap Stocks
Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds
LCGS = Large Cap Growth Stocks
IDS = International Developed Stocks

Investment Assets

Traditional IRA's

Who is the owner: Client Spouse

Description: _____

Current Value: \$ _____

After Tax Value: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$ _____ Inflation? No Yes

Maximum contribution each year

After-Tax: Additions: \$ _____

Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Who is the owner: Client Spouse

Description: _____

Current Value: \$ _____

After Tax Value: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$ _____ Inflation? No Yes

Maximum contribution each year

After-Tax: Additions: \$ _____

Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

LTB = Long Term Bonds

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SCS = Small Cap Stocks

Unclassified = All Other Asset Classes

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IDS = International Developed Stocks

Investment Assets

SEPP IRA – 72(t)

Who is the owner: Client Spouse

Description: _____

Ticker Symbol: _____

CUSIP: _____

Current Value: \$ _____

After Tax Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

72(t) Distributions

Annual Distribution Amount: \$ _____ Year Distribution Began: _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse

Description: _____

Ticker Symbol: _____

CUSIP: _____

Current Value: \$ _____

After Tax Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

72(t) Distributions

Annual Distribution Amount: \$ _____ Year Distribution Began: _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
LTB = Long Term Bonds
MCS = Mid Cap Stocks
IES = International Emerging Stocks

STB = Short Term Bonds
LCVS = Large Cap Value Stocks
SCS = Small Cap Stocks
Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds
LCGS = Large Cap Growth Stocks
IDS = International Developed Stocks

Investment Assets

Roth IRA's

Who is the owner: Client Spouse Description: _____

Current Value: \$_____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$_____ Inflation? No Yes

Maximum contribution each year

After-Tax: Additions: \$_____

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse Description: _____

Current Value: \$_____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$_____ Inflation? No Yes

Maximum contribution each year

After-Tax: Additions: \$_____

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

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Unclassified = All Other Asset Classes

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IDS = International Developed Stocks

Investment Assets

Coverdell Accounts (ESA)

Who is the owner: Custodial Description: _____

Current Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes

Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Custodial Description: _____

Current Value: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes

Maximum contribution each year

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

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Investment Assets

529 Savings Plan

Who is the owner: Client Spouse

Description: _____

Beneficiaries/Percentage

Estate _____%

Other - _____%

Spouse _____%

Other - _____%

Current Value: \$ _____

Is this asset subject to state taxes? No Yes

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Who is the owner: Client Spouse

Description: _____

Beneficiaries/Percentage

Estate _____%

Other - _____%

Spouse _____%

Other - _____%

Current Value: \$ _____

Is this asset subject to state taxes? No Yes

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

STB = Short Term Bonds

ITB = Intermediate Term Bonds

LTB = Long Term Bonds

LCVS = Large Cap Value Stocks

LCGS = Large Cap Growth Stocks

MCS = Mid Cap Stocks

SCS = Small Cap Stocks

IDS = International Developed Stocks

IES = International Emerging Stocks

Unclassified = All Other Asset Classes

Investment Assets

Annuities

Who is the owner: Client Spouse Description: _____
Current Value: \$ _____ Cost Basis: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse Description: _____
Current Value: \$ _____ Cost Basis: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
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IDS = International Developed Stocks

Investment Assets

Annuities (Continued)

Who is the owner: Client Spouse Description: _____
Current Value: \$ _____ Cost Basis: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
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Investment Assets

Cash Value Life: Variable Life

Owner: Client Spouse

Insured: Client Spouse 1st to Die 2nd to Die

Name or Description: _____

Beneficiaries & Death Benefit

Estate _____% Other - _____% Other - _____%

Spouse _____% Other - _____% Other - _____%

Current Value: \$ _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Cost Basis: \$ _____

Insurance Amount: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$ _____ Inflate? No Yes

Maximum contribution each year

After-Tax: Additions: \$ _____

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

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Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds

LCGS = Large Cap Growth Stocks

IDS = International Developed Stocks

Investment Assets

Cash Value Life: Variable Life

Owner: Client Spouse

Insured: Client Spouse 1st to Die 2nd to Die

Name or Description: _____

Beneficiaries & Death Benefit

Estate ____% Other - _____ % Other - _____ %

Spouse ____% Other - _____ % Other - _____ %

Current Value: \$ _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Cost Basis: \$ _____

Insurance Amount: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Pre-Tax: Additions: \$ _____ Inflation? No Yes

Maximum contribution each year

After-Tax: Additions: \$ _____

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

LTB = Long Term Bonds

MCS = Mid Cap Stocks

IES = International Emerging Stocks

STB = Short Term Bonds

LCVS = Large Cap Value Stocks

SCS = Small Cap Stocks

Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds

LCGS = Large Cap Growth Stocks

IDS = International Developed Stocks

Investment Assets

Other Tax-Deferred

Who is the owner: Client Spouse

Description: _____

Current Value: \$ _____

Cost Basis: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

U.S. Savings Bond

Who is the owner: Client Spouse

Description: _____

Current Value: \$ _____

Cost Basis: \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflation? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents

LTB = Long Term Bonds

MCS = Mid Cap Stocks

IES = International Emerging Stocks

STB = Short Term Bonds

LCVS = Large Cap Value Stocks

SCS = Small Cap Stocks

Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds

LCGS = Large Cap Growth Stocks

IDS = International Developed Stocks

Investment Assets

Taxable

Who is the owner: Client Spouse Joint Custodial
If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Ticker Symbol: _____
Current Value: \$ _____ Cost Basis: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
 Earmark to Multiple Goals: _____
 Fund All Goals
 Leave to Estate
 Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse Joint Custodial
If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Ticker Symbol: _____
Current Value: \$ _____ Cost Basis: \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
 Earmark to Multiple Goals: _____
 Fund All Goals
 Leave to Estate
 Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
LTB = Long Term Bonds
MCS = Mid Cap Stocks
IES = International Emerging Stocks

STB = Short Term Bonds
LCVS = Large Cap Value Stocks
SCS = Small Cap Stocks
Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds
LCGS = Large Cap Growth Stocks
IDS = International Developed Stocks

Investment Assets

Tax-Free

Who is the owner: Client Spouse Joint Custodial
If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Ticker Symbol: _____
Current Value: \$ _____ Cost Basis: \$ _____
Is this asset subject to state taxes? No Yes

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes
Year Additions Begin: _____
Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Who is the owner: Client Spouse Joint Custodial
If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Ticker Symbol: _____
Current Value: \$ _____ Cost Basis: \$ _____
Is this asset subject to state taxes? No Yes

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Annual Additions: (Check one)

Additions: \$ _____ Inflate? No Yes
Year Additions Begin: _____
Year Additions End: Client Retires Spouse Retires Year _____

Asset Class Distribution:

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%
LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%
UC _____%

Legend For Asset Class Distribution

CE = Cash & Cash Equivalents
LTB = Long Term Bonds
MCS = Mid Cap Stocks
IES = International Emerging Stocks

STB = Short Term Bonds
LCVS = Large Cap Value Stocks
SCS = Small Cap Stocks
Unclassified = All Other Asset Classes

ITB = Intermediate Term Bonds
LCGS = Large Cap Growth Stocks
IDS = International Developed Stocks

Other Assets

Personal and Business Assets

(Homes, Vehicles, Personal Property, Business Assets, Real Estate, etc.)

Owner: Client Spouse Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Current Value: \$ _____

Will the value of this asset increase each year? _____%

Do you intend to sell this asset to help fund your Goals? No Yes *(If Yes, complete the remaining items)*

Year to Sell _____ Future Value *(after-tax)* \$ _____

Assign – How to Use: *(Check one)*

- Earmark to One Goal: _____
 - Earmark to Multiple Goals: _____
 - Fund All Goals
 - Leave to Estate
 - Not Used in Plan
-

Owner: Client Spouse Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Current Value: \$ _____

Will the value of this asset increase each year? _____%

Do you intend to sell this asset to help fund your Goals? No Yes *(If Yes, complete the remaining items)*

Year to Sell _____ Future Value *(after-tax)* \$ _____

Assign – How to Use: *(Check one)*

- Earmark to One Goal: _____
 - Earmark to Multiple Goals: _____
 - Fund All Goals
 - Leave to Estate
 - Not Used in Plan
-

Owner: Client Spouse Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____ Current Value: \$ _____

Will the value of this asset increase each year? _____%

Do you intend to sell this asset to help fund your Goals? No Yes *(If Yes, complete the remaining items)*

Year to Sell _____ Future Value *(after-tax)* \$ _____

Assign – How to Use: *(Check one)*

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Other Assets

Pension - Lump Sum Distribution

Owner: Client Spouse

Description: _____

Current Value: \$ _____

Year of Distribution: _____

Value of Distribution \$ _____

Value is: (Check one) Pre-tax After-tax

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Deferred Compensation (Receiving Now)

Owner: Client Spouse

Description: _____

Current Value (today's dollars): \$ _____

Distribution Period

Number of Years: _____

Annual Payment (pre-tax) \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Owner: Client Spouse

Description: _____

Current Value (today's dollars): \$ _____

Distribution Period

Number of Years: _____

Annual Payment (pre-tax) \$ _____

Assign – How to Use: (Check one)

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Other Assets

Deferred Compensation *(Future)*

Owner: Client Spouse

Description: _____

Current Value *(today's dollars)*: \$ _____

Contributions

Amount – Select Method

None

Percentage of Income Annual Income: \$ _____ Grow Annually by: _____ %
% Contribution: _____

Dollar Amount \$ _____ Grow Annually by: _____ %

Period

Start Year: _____

Year Additions End: Client Retires Spouse Retires Year _____

Value at Start of Distribution

Rate of Return during Accumulation: _____ %

Year Distributions Begin: Client Retires Spouse Retires Year _____

Distribution Period

Number of Years: _____

Annual Payment *(pre-tax)* \$ _____

Annual Distribution

Rate of Return during Distribution: _____ %

Assign – How to Use: *(Check one)*

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Other Assets

Deferred Compensation *(Future) Continued*

Owner: Client Spouse

Description: _____

Current Value *(today's dollars)*: \$ _____

Contributions

Amount – Select Method

None

Percentage of Income Annual Income: \$ _____ Grow Annually by: _____ %
% Contribution: _____

Dollar Amount \$ _____ Grow Annually by: _____ %

Period

Start Year: _____

Year Additions End: Client Retires Spouse Retires Year _____

Value at Start of Distribution

Rate of Return during Accumulation: _____ %

Year Distributions Begin: Client Retires Spouse Retires Year _____

Distribution Period

Number of Years: _____ Annual Payment *(pre-tax)* \$ _____

Annual Distribution

Rate of Return during Distribution: _____ %

Assign – How to Use: *(Check one)*

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Other Assets

Insurance Assets – Cash Value *(Universal/Variable/Whole/Other)*

Owner: Client Spouse Insured: Client Spouse 1st to Die 2nd to Die

Description: _____

Current Cash Value: \$ _____ *(before tax – today's dollars)*

Average Annual Growth Rate: _____ *(excluding cost of insurance)*

Beneficiaries & Death Benefit

Estate ___% Other - _____ ___% Other - _____ ___%
Spouse ___% Other - _____ ___% Other - _____ ___%

Death Benefit Amount: _____ Premium Amount: \$ _____ every _____

How long will premiums be paid?

Until insured dies Until policy terminates Year _____

When will this policy terminate?

When insured dies Year _____

Do you intend to sell this asset to help fund your Goals? No Yes *(If Yes, complete the remaining items)*

Withdrawal Year: _____ Amount of Withdrawal: \$ _____ Tax-free withdrawal: \$ _____

Assign – How to Use: *(Check one)*

- Earmark to One Goal: _____
 - Earmark to Multiple Goals: _____
 - Fund All Goals
 - Leave to Estate
 - Not Used in Plan
-

Owner: Client Spouse Insured: Client Spouse 1st to Die 2nd to Die

Description: _____

Current Cash Value: \$ _____ *(before tax – today's dollars)*

Average Annual Growth Rate: _____ *(excluding cost of insurance)*

Beneficiaries/Percentage

Estate ___% Other - _____ ___% Other - _____ ___%
Spouse ___% Other - _____ ___% Other - _____ ___%

Death Benefit Amount: _____ Premium Amount: \$ _____ every _____

How long will premiums be paid?

Until insured dies Until policy terminates For this Number of Years _____

When will this policy terminate?

When insured dies Year _____

Do you intend to sell this asset to help fund your Goals? No Yes *(If Yes, complete the remaining items)*

Year of Withdrawal: _____

Future Cash Value of Policy: \$ _____ *(Before tax – future dollars)* Tax-free withdrawal: \$ _____

Assign – How to Use: *(Check one)*

- Earmark to One Goal: _____
- Earmark to Multiple Goals: _____
- Fund All Goals
- Leave to Estate
- Not Used in Plan

Other Assets

529 Savings Plan

Owner: Client Spouse

Description: _____

Current Value: \$ _____

Annual Growth Rate: _____

Do you intend to sell this asset to help fund your Goals? No Yes (If Yes, complete the remaining items)

Year to Sell _____

Future Value (after-tax) \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Owner: Client Spouse

Description: _____

Current Value: \$ _____

Annual Growth Rate: _____

Do you intend to sell this asset to help fund your Goals? No Yes (If Yes, complete the remaining items)

Year to Sell _____

Future Value (after-tax) \$ _____

Assign – How to Use: (Check one)

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Other Assets

Future Assets *Cash (Inheritance, Gift, Settlement, etc.)*

Owner: Client Spouse Joint

If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____

Year to Receive: _____

Future Value (after tax) \$ _____

Assign – How to Use: *(Check one)*

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Owner: Client Spouse Joint

If Joint, what kind? Survivorship Common Entirety Community Property
 Other w/ Client Other w/ Spouse

Description: _____

Year to Receive: _____

Future Value (after tax) \$ _____

Assign – How to Use: *(Check one)*

Earmark to One Goal: _____

Earmark to Multiple Goals: _____

Fund All Goals

Leave to Estate

Not Used in Plan

Insurance Policies

Cash Value Life Policies owned by the Client or Spouse

Investment Asset *(Variable Life)*Owner: Client SpouseInsured: Client Spouse 1st to Die 2nd to Die

Name or Description: _____

Beneficiaries & Death Benefit

Estate _____% Other - _____% Other - _____%

Spouse _____% Other - _____% Other - _____%

Current Value: \$ _____

Cost Basis: \$ _____

Insurance Amount: \$ _____

Assign – How to Use: *(Check one)* Earmark to One Goal: _____ Earmark to Multiple Goals: _____ Fund All Goals Leave to Estate Not Used in Plan**Annual Additions:** *(Check one)*Pre-Tax: Additions: \$ _____ Inflation? No Yes Maximum contribution each yearAfter-Tax: Additions: \$ _____

Year Additions Begin: _____

Year Additions End: Client Retires Spouse Retires Year _____**Asset Class Distribution:**

CE _____% STB _____% ITB _____% LTB _____% LCVS _____%

LCGS _____% MCS _____% SCS _____% IDS _____% IES _____%

UC _____%